

## INSTRUCTIONS

**EXPORT CONTROL CHECKLIST REVIEW IS REQUIRED *PRIOR* TO ACCEPTANCE OF ALL SPONSORED AGREEMENTS IF ANY OF THE CRITERIA IN THE INSTRUCTIONS OR CHECKLIST ARE MET:**

1. If **Restricted Party Screening (RPS)**\* of DCCs or non-UA personnel, companies, institutions, etc., results in a potential match. Use Descartes Visual Compliance to screen. Contact Export Control if you have questions, or you are unsure who conducts screenings in your department.  
*\*To remain compliant with federal regulations, the University of Arizona conducts Restricted Party Screenings (RPS) to help prevent illegal transactions with restricted foreign and domestic parties.*
2. If activities/sponsor/collaborators are located in **Countries of Concern** (click for current list of countries)
3. If proposed activity/scope of work involves:
  - Research with potential military end-use.
  - Services or transfer of technology, software, material, equipment, or information in **applied, technical, or scientific fields**:
 

Engineering	Chemistry	Physics	Optical Sciences	AZ Health Sciences*	Computer Sciences
Geosciences	Electronics	MIS	Space Sciences	Instrumentation Design	

*\*Agreements with international collaborators/sponsors or activities occurring in a foreign country*
4. If proposed agreement includes:
  - Non-standard export control language
  - Publication restrictions (e.g., sponsor approval is required prior to publishing)
  - Information security requirements
  - Foreign national restrictions and/or approval for foreign nationals
  - Transfer of items, technology, or software to a non-U.S. person/entity (abroad OR within the U.S.)

### COLLEGE/DEPARTMENT

- ☐ If the agreement meets the criteria above, please **complete Part A** and **submit checklist**, agreement, awards, SOW, flowdowns, etc. to the appropriate Contracting Office (ORCA or CRA). **To ensure timely review, departments should initiate and submit the checklist; if needed and not submitted, CRA or ORCA will request its completion.**
- ☐ **Question 10** - All departments on the **Main Campus** must answer Question 10.  
**AZ Health Sciences** must answer Question 10 *only if you answered "Yes" to any of questions 1-9.*  
*Checklists must be on file and export control issues addressed prior to grant award or agreement signing.*

### CONTRACTING OFFICE (ORCA or CRA)

- ☐ **Complete Part B** and add the **UA Account number/UA Negotiation Log Identification (NLID)**.
- ☐ If any **"YES" responses**: forward Checklist, agreement, and all relevant documents (awards, SOWs and flowdowns, etc.) to Export Control. **If the only "Yes" answer is Part A Question 10, a review by Export Control is not required.**
- ☐ **Notify the Awards team** if a TCP is required.
- ☐ **Retain** completed Checklist with the negotiation file.

### EXPORT CONTROL

- ☐ **Review** the Checklist, agreement, and documentation and complete Part C.
- ☐ **Return** completed Checklist to the appropriate Contracting Office (ORCA or CRA).
- ☐ If a **Technology Control Plan (TCP)** is required, **notify** Contracting Office when the TCP is finalized.

Please contact Export Control [export@arizona.edu](mailto:export@arizona.edu) with questions.

<b>UA Account/NLID:</b>		<b>Sponsor:</b>	
<b>PI:</b>		<b>Prime Sponsor:</b>	
<b>College/Dept.:</b>			

<b>PART A: College/Dept.</b>	<b>Completed by:</b> _____	<b>Date:</b> _____	<b>YES</b>	<b>NO</b>
1. There was a <b>match</b> (alert) on a <b>required RPS</b> screening of DCCs or non-UA personnel, companies, institutions, etc.			<input type="checkbox"/>	<input type="checkbox"/>
2. Activity is <b>conducted</b> in a foreign country. ➤ <i>If YES list country(s):</i>			<input type="checkbox"/>	<input type="checkbox"/>
3. Activity involves <b>persons or companies located outside the U.S. (including sponsors)</b> . ➤ <i>If YES list name(s) and country(s):</i>			<input type="checkbox"/>	<input type="checkbox"/>
4. <b>Technical data/technology</b> expected to be received/exchanged (e.g., blueprints, diagrams, models, formulae, designs or specifications, configuration or integration design, manuals, instructions). ➤ <i>If YES provide details (research topic, type of data/technology, and/or export classification from Sponsor):</i>			<input type="checkbox"/>	<input type="checkbox"/>
5. <b>Equipment</b> from the sponsor or a third party to be received. ➤ <i>If YES request export control classification and provide description:</i>			<input type="checkbox"/>	<input type="checkbox"/>
6. <b>Substances/chemical compounds</b> involved, such as explosive materials (e.g., DNAN, NTO) or propellants and constituent chemicals for propellants. ➤ <i>If YES list substances (include CAS if known):</i>			<input type="checkbox"/>	<input type="checkbox"/>
7. Activity involves <b>military-related items</b> such as missiles, explosives, military training, vehicles, or equipment; <b>nuclear, chemical, or biological weapons</b> ; and/or <b>space technology</b> (excludes astronomical observations). ➤ <i>If YES describe:</i>			<input type="checkbox"/>	<input type="checkbox"/>
8. <b>Transfer</b> of goods, services, information, or technology abroad expected. ➤ <i>If YES describe:</i>			<input type="checkbox"/>	<input type="checkbox"/>
9. <b>Encryption source code</b> or <b>source code incorporating encryption functionality</b> is involved.			<input type="checkbox"/>	<input type="checkbox"/>
All departments on the <b>Main Campus</b> must answer Question 10. <b>AZ Health Sciences</b> must answer Question 10 <i>only if you answered "Yes" to any of questions 1-9 above.</i>				
10. Activity involves <b>non-U.S. citizens located in the U.S.</b> (including PI). If multiple persons contact Export Control). ➤ <i>If YES list name/role/country(s) of citizenship and if status is LPR (green card holder), or if multiple persons contact Export Control:</i>			<input type="checkbox"/>	<input type="checkbox"/>
<b>PART B: Contracting Office</b>	<b>Reviewed by:</b> _____	<b>Date:</b> _____	<b>YES</b>	<b>NO</b>
11. Sponsor must <b>approve/disapprove publication</b> (excluding reasonable reviews for patents or proprietary information) or <b>restrict the dissemination</b> of research (e.g., <b>DFARS 252.204.7000</b> or <b>FAR 52.227-17</b> clauses).			<input type="checkbox"/>	<input type="checkbox"/>
12. Incorporates <b>DFARS 252.204-7008, 252.204-7012, 252.204-7019, 252.204-7020, 252.204-7021</b> or clauses from <b>NASA (1852.204-76)</b> or other agencies requiring an IT security plan.			<input type="checkbox"/>	<input type="checkbox"/>
13. <b>IF YES to Q11 or Q12:</b> Written confirmation has been received from the Government Contracting Officer (CO) that the UA component is Fundamental Research.		<input type="checkbox"/> N/A	<input type="checkbox"/>	<input type="checkbox"/>
14. Includes <b>non-standard export language</b> , beyond adhering to regulations.			<input type="checkbox"/>	<input type="checkbox"/>
15. <b>Prohibits</b> involvement of non-U.S. persons, or persons from certain countries, and/or requires UA to identify or seek prior approval from Sponsor for foreign national participation.			<input type="checkbox"/>	<input type="checkbox"/>
<b>PART C: Export Control</b>	<b>Reviewed by:</b> _____	<b>Date:</b> _____	<b>YES</b>	<b>NO</b>
16. <b>A Technology Control Plan (TCP)</b> is required prior to signing agreement.			<input type="checkbox"/>	<input type="checkbox"/>
17. <b>Controlled Unclassified Information (CUI)</b> is applicable.			<input type="checkbox"/>	<input type="checkbox"/>
18. <b>A license</b> or other government authorization is required.			<input type="checkbox"/>	<input type="checkbox"/>
<b>NOTES/COMMENTS (for all reviewers)</b>				